



U.S. Serial No. 09/394,867  
Inventor: David A. Williams  
Group Art Unit 1636

Express Mail label number E457907310US  
Date of Deposit AUGUST 18, 2000

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*Judy Johnson*

Signature of person mailing paper or fee

*G/5  
J.D.P.  
9/16/00*

PCDocs92061

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: )  
David A. Williams )  
Serial No. 09/394,867 )  
Filed: September 13, 1999 ) Group Art Unit 1636  
METHODS FOR ENHANCED )  
RETROVIRAL-MEDIATED GENE )  
TRANSFER ) August 18, 2000

### PRELIMINARY AMENDMENT

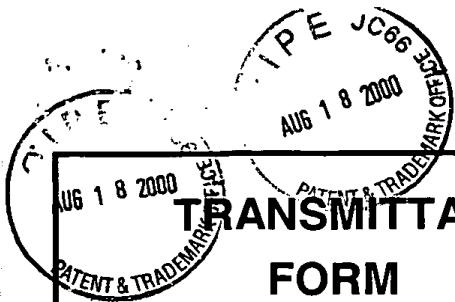
Assistant Commissioner of Patents 03/23/2000 GTEFFERA 00000004 09394567  
Washington, D.C. 20231 01 FC:103 1514.00 2.  
Sir: 02 FC:102 1552.00 2.

Please consider the following. Please also provide any extensions of time that are necessary and charge any fees that may be due to Deposit Account No. 23-3030, but not to include the payment of any issue fees.

### IN THE CLAIMS:

Please delete claims 1-10 and add the following new claims.

-- 11. A method for transduction of hematopoietic cells by a replication-defective recombinant retrovirus vector, comprising infecting viable hematopoietic cells in culture with a replication-defective recombinant retrovirus in the presence of



08-21-cd RECEIVED  
AUG 28 2000  
WENMM/SB/21 (4-99)  
TELE-CENTER 1000/2900  
GAU 16:36

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

		Application Number	09/394,867
		Filing Date	September 13, 1999
		First Named Inventor	David A. Williams
		Group Art Unit	1636
		Examiner Name	(Unknown)
Total Number of Pages in this Submission		Attorney Docket Number	7037-377

**ENCLOSURES (check all that apply)**

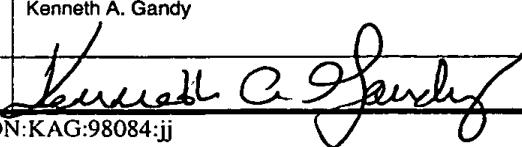
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Preliminary Amendment	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input type="checkbox"/> Additional Enclosure (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Documents	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual Name	Kenneth A. Gandy, Reg. No. 33,386 Woodard, Emhardt, Naughton, Moriarty & McNett	
Signature		
Date	August 18, 2000	

**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington D.C. 20231 on this date:

Typed or printed name	Kenneth A. Gandy		
Signature			Date
			August 18, 2000

IU-033-CIP2-CON:KAG:98084:jj

# FEE TRANSMITTAL

## FOR FY 1999

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid.  
See Forms PTO/SB/09-12.

Aug 18 2000  
PTO/TRADE  
J.C.

Complete if Known

Application Number	09/394,867
Filing Date	September 13, 1999
First Named Inventor	David A. Williams
Group Art Unit	1636
Examiner Name	(Unknown)

Total Amount of Payment (\$ 2,406.00)

Attorney Docket Number 7037-377

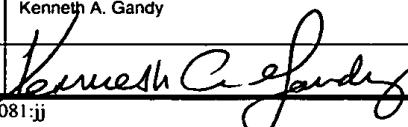
## Method of Payment (check one)

<input checked="" type="checkbox"/>	The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
Deposit Account Number	23-3030
Deposit Account Name	Woodard, Emhardt, Naughton, Moriarty & McNett
<input checked="" type="checkbox"/>	Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17
2. <input checked="" type="checkbox"/>	Payment Enclosed:
	<input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other

## Fee Calculation (continued)

3. ADDITIONAL FEES					
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge – late filing fee or oath	
127	50	227	25	Surcharge – late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	318	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive – unavoidable	
141	1,210	241	605	Petition to revive – unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))	
149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))	
Other Fee (specify)					
Other Fee (specify)					
• Reduced by Basic Filing Fee Paid					
SUBTOTAL(3)					\$

## SUBMITTED BY

Typed or Printed Name	Kenneth A. Gandy	Complete (If applicable)	
Signature		Reg. Number	33,386
		Deposit Account User ID	23-3030